

02/05/02

PTO/SB/05 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 30435.53USD3  
First Inventor Charles L. Sawyers  
Title MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION  
Express Mail Label No. ET842493895US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

- ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
- ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
- ☒ Specification [Total Pages 43]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
- ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
- Oath or Declaration [Total Pages 2]
  - ☐ Newly executed (original or copy)
  - ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application. see 37 CFR 1.63(d)(2) and 1.33(b)
- ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

- ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
- Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - ☐ Computer Readable Form (CRF)
  - Specification Sequence Listing on:
    - ☐ CD-ROM or CD-R (2 copies); or
    - ☐ paper
  - ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

- ☐ Assignment Papers (cover sheet & document(s))
- ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
- ☐ English Translation Document (if applicable)
- ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
- ☐ Preliminary Amendment
- ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
- ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
- ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. transmittal sheets, check
- ☐ Other: fee transmittal sheet

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09 567,202  
Prior application information Examiner T. Ton Group Art Unit 1632

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.


## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 26,941 or ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Sarah B. Adriano	Registration No. (Attorney/Agent)	34.470
Signature	Sarah B. Adriano	Date	January 30, 2002

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS SEND TO Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

Please type a plus sign (+) inside this box 

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See 37 CFR 1.27.
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(preferred arrangement set forth below)
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4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 10]
5. Oath or Declaration [Total Pages 2]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63 (d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)
6. ☒ Application Data Sheet. See 37 CFR 1.76

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(if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
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    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

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10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent. transmittal sheets, check
17. ☐ Other: fee transmittal sheet

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP) of prior application No. 09 567,202

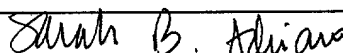
Prior application information Examiner T. Ton Group Art Unit 1632

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 26,941 or ☐ Correspondence address below

Name			
Address			
City	State	Zip Code	
Country	Telephone	Fax	

Name (Print/Type)	Sarah B. Adriano	Registration No. (Attorney/Agent)	34.470
Signature		Date	January 30, 2002

Burden Hour Statement. This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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# FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

**Complete if Known**

Application Number	
Filing Date	01/30/2002
First Named Inventor	Charles L. Sawyers
Examiner Name	T. Ton
Group Art Unit	1632
Attorney Docket No.	30435.53USD3

TOTAL AMOUNT OF PAYMENT (\$ 370.00)

**METHOD OF PAYMENT**

- 1.
- ☒
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to

Deposit Account Number	Mandel & Adriano
Deposit Account Name	50-0306

- ☒
- Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒
- Applicant claims small entity status See 37 CFR 1.27

- 2.
- ☒
- Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
101	740	201	370	Utility filing fee	370.00
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) (\$ 370.00)

**2. EXTRA CLAIM FEES**

		Extra Claims		Fee from below		Fee Paid	
Total Claims	1	-20** =	0	X	9.00	=	0.00
Independent Claims	1	-3** =	0	X	42.00	=	0.00
Multiple Dependent					40.00	=	0.00

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ 0.00)

\*\*or number previously paid, if greater: For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	Extension for reply within fourth month	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify)

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 0.00)

**SUBMITTED BY**

Complete (if applicable)

Name (Print/Type)	Sarah B. Adriano	Registration No. (Attorney/Agent)	34,470	Telephone	(626)395-7801
Signature	<i>Sarah B. Adriano</i>	Date	January 30, 2002		

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

02-03-02

A

JC962 U.S. PTO



01/30/02

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

DOCKET NUMBER	ANTICIPATED CLASSIFICATION OF THIS APPLICATION:		PRIOR APPLICATION	
	CLASS	SUBCLASS	EXAMINER	ART UNIT
30435.53USD3	unknown	Unknown	Thaian N. Ton	1632

**CERTIFICATE UNDER 37 CFR 1.10:**

"Express Mail" mailing label number: ET842493895US  
Date of Deposit: January 30, 2002

I hereby certify that this paper or fee is being deposited with the U.S. Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to Assistant Commissioner for Patents, Washington, D.C. 20231.

By:   
Name: Richelle Ann Domingo

J1002 U.S. PTO

10/062684



01/30/02

**DIVISIONAL APPLICATION UNDER 37 C.F.R. § 1.53(b)**

Assistant Commissioner for Patents  
Washington, DC 20231

Dear Sir:

This is a request for filing a divisional application under 37 CFR § 1.53(b) of Serial No. 09/567,202, filed on May 8, 2000 entitled MICE MODELS OF HUMAN PROSTATE CANCER PROGRESSION by the following inventor(s):

<b>Full Name Of Inventor</b>	<b>Family Name</b> Sawyers	<b>First Given Name</b> Charles	<b>Second Given Name</b> L.
<b>Residence &amp; Citizenship</b>	<b>City</b> Los Angeles	<b>State or Foreign Country</b> California	<b>Country of Citizenship</b> USA
<b>Post Office Address</b>	<b>Post Office Address</b> 117 S. Westgate Avenue	<b>City</b> Los Angeles	<b>State &amp; Zip Code/Country</b> California 90049/USA
<b>Full Name Of Inventor</b>	<b>Family Name</b> Klein	<b>First Given Name</b> Karen	<b>Second Given Name</b> A.
<b>Residence &amp; Citizenship</b>	<b>City</b> Los Angeles	<b>State or Foreign Country</b> California	<b>Country of Citizenship</b> USA
<b>Post Office Address</b>	<b>Post Office Address</b> 174 Denslow Avenue	<b>City</b> Los Angeles	<b>State &amp; Zip Code/Country</b> California 90049/USA
<b>Full Name Of Inventor</b>	<b>Family Name</b> Witte	<b>First Given Name</b> Owen	<b>Second Given Name</b> N.
<b>Residence &amp; Citizenship</b>	<b>City</b> Sherman Oaks	<b>State or Foreign Country</b> California	<b>Country of Citizenship</b> USA
<b>Post Office Address</b>	<b>Post Office Address</b> 14727 Sutton Drive	<b>City</b> Sherman Oaks	<b>State &amp; Zip Code/Country</b> California 91403/USA
<b>Full Name Of Inventor</b>	<b>Family Name</b> Reiter	<b>First Given Name</b> Robert	<b>Second Given Name</b> E.
<b>Residence &amp; Citizenship</b>	<b>City</b> Los Angeles	<b>State or Foreign Country</b> California	<b>Country of Citizenship</b> USA
<b>Post Office Address</b>	<b>Post Office Address</b> 10511 Kinnard Avenue	<b>City</b> Los Angeles	<b>State &amp; Zip Code/Country</b> California 90024-6017/USA

1. ☒ Enclosed is a true and correct copy of the prior application; including the specification, claims, drawings, oath or declaration showing the applicant's signature, and any amendments referred to in the oath or declaration filed to complete the prior application. (It is noted that no amendments referred to in the oath or declaration filed to

complete the prior application introduced new matter therein.) The copy of the prior application is as follows: 39 pages of specification, 20 claims (3 pages), 1 pages of abstract, 10 sheets of drawings, 3 pages of Verified Statement Claiming Small Entity Status and 12 pages of oath or declaration.

2. ☒ Cancel in this application original claims 2-20 of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)
3. ☒ The filing fee is calculated below:

**CLAIMS AS FILED**

NUMBER FILED	NUMBER EXTRA		RATE	FEE
<b>TOTAL CLAIMS:</b>				
1 -20	0	X	\$9.00	\$0.00
<b>INDEPENDENT CLAIMS</b>				
1 -3	0	x	\$42.00	\$0.00
			<b>MULTIPLE DEPENDENT CLAIM:</b>	<b>\$0.00</b>
			<b>BASIC FILING FEE:</b>	<b>\$370.00</b>
			<b>TOTAL FILING FEE:</b>	<b>\$370 .00</b>

☒ Applicants claim small entity.

4. ☒ Payment of fees:  
☒ Attached is a check in the amount of \$370.00.  
☐ Please charge Deposit Account No. 50-0306.

5. ☒ The Commissioner is hereby authorized to charge any additional fees as set forth in 37 CFR §§ 1.16 to 1.18 which may be required by this paper or credit any overpayment to Account No. 50-0306.

6. ☒ Amend the specification as follows:

Please delete the title on page 1, line 1 and replace with:

--METHODS OF SIMULATING HUMAN PROSTATE CANCER PROGRESSION--

Please replace the first full paragraph of page 1 with the following:

--This is a divisional application of U.S. Serial No. 09/567,202, filed May 8, 2000, which is a divisional of U.S. Serial No. 08/951,143, filed October 15, 1997, which is a CIP of U.S. Serial No. 08/732,676, filed October 15, 1996, which applications are incorporated herein by reference.--

7. ☐ A set of formal drawings (\_\_\_\_ sheets) is enclosed.
8. ☐ Priority of application Serial No. \_\_\_\_\_, filed on \_\_\_\_\_ in \_\_\_\_\_, is claimed under 35 U.S.C. 119.
- ☐ The certified copy has been filed in prior application Serial No. \_\_\_\_\_, filed \_\_\_\_\_.
9. ☒ The prior application is assigned of record to The Regents of the University of California.

10. ☒ The Power of Attorney in the prior application is to:

Mandel & Adriano  
35 N. Arroyo Parkway, Suite 60  
Pasadena, California 91103

11. ☐ A preliminary amendment is enclosed. (Claims added by this amendment have been properly numbered consecutively beginning with the number next following the highest numbered original claim in the prior application.)

☐ Fee for excess claims is attached.

12. ☐ A petition and fee has been filed to extend the term in the prior application until \_\_\_\_\_. A copy of the petition for extension of time in the prior application is attached.

13. ☐ The inventor(s) in this application are less than those named in the prior application and it is requested that the following inventors identified above for the prior application be deleted:

14. ☒ Also Enclosed: Application Data Sheet (2 sheets), Utility Transmittal Sheet (1 sheet, in duplicate), Fee Transmittal Sheet (1 sheet)

15. ☒ Address all future communications to the **Attention of Sarah B. Adriano** (may only be completed by attorney or agent of record) at the address below.

16. ☒ A return postcard is enclosed.

Respectfully submitted,

Sarah B. Adriano

Sarah B. Adriano

Reg. No. 34,470

Attorney for Applicants

Mandel & Adriano

35 No. Arroyo Parkway, Suite 60

Pasadena, California 91103

626/395-7801

Customer No. 26,941